



# North Carolina Department of Health and Human Services (NC DHHS)

Division of Medical Assistance (DMA)

Division of Mental Health (DMH)

Division of Public Health (DPH)

Standard Companion Guide Transaction Information Instructions related to Transactions based on ASC X12 Implementation Guides, version 005010X212 Health Care Claim Status Request and Response (276/277), for the Replacement MMIS NCTracks starting July 1, 2013



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## Preface

Companion Guides (CG) may contain two types of data, instructions for electronic communications with the publishing entity (Communications/Connectivity Instructions) and supplemental information for creating transactions for the publishing entity while ensuring compliance with the associated ASC X12 IG (Transaction Instructions). Either the Communications/Connectivity component or the Transaction Instruction component must be included in every CG. The components may be published as separate documents or as a single document.

The Communications/Connectivity component is included in the CG when the publishing entity wants to convey the information needed to commence and maintain communication exchange.

The Transaction Instruction component is included in the CG when the publishing entity wants to clarify the IG instructions for submission of specific electronic transactions. The Transaction Instruction component content is limited by ASCX12's copyrights and Fair Use statement.

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## 1. Transaction Instruction (TI) Introduction

### 1.1 BACKGROUND

#### 1.1.1 Overview of HIPAA Legislation

The Health Insurance Portability and Accountability Act (HIPAA) of 1996 carries provisions for administrative simplification. This requires the Secretary of the Department of Health and Human Services (HHS) to adopt standards to support the electronic exchange of administrative and financial health care transactions primarily between health care providers and plans. HIPAA directs the Secretary to adopt standards for transactions to enable health information to be exchanged electronically and to adopt specifications for implementing each standard. HIPAA serves to:

- Create better access to health insurance
- Limit fraud and abuse
- Reduce administrative costs

#### 1.1.2 Compliance According to HIPAA

The HIPAA regulations at 45 CFR 162.915 require that covered entities not enter into a trading partner agreement that would do any of the following:

- Change the definition, data condition, or use of a data element or segment in a standard.
- Add any data elements or segments to the maximum defined data set.
- Use any code or data elements that are marked “not used” in the standard’s implementation specifications or are not in the standard’s implementation specification(s).
- Change the meaning or intent of the standard’s implementation specification(s).

#### 1.1.3 Compliance According to ASC X12

ASC X12 requirements include specific restrictions that prohibit trading partners from:

- Modifying any defining, explanatory, or clarifying content contained in the implementation guide.
- Modifying any requirement contained in the implementation guide

### 1.2 INTENDED USE

The Transaction Instruction component of this companion guide must be used in conjunction with an associated ASC X12 Implementation Guide. The instructions in this companion guide are not intended to be stand-alone requirements documents. This companion guide conforms to all the requirements of any associated ASC X12 Implementation Guides and is in conformance with ASC X12’s Fair Use and Copyright statements.

### 1.3 INTENDED AUDIENCE

This companion guide is intended for the business and technical users, within or on behalf of trading partners, responsible for the testing and setup of electronic claims submissions to NCTracks. In addition, this information should be communicated to, and coordinated with, the provider's billing office in order to ensure that the required billing information is provided to its billing agent/submitter.

## **1.4 PURPOSE OF COMPANION GUIDE**

The Companion Guide is to be used with, and to supplement the requirements in the HIPAA ASC X12 Implementation Guides, without contradicting those requirements. Implementation Guides define the national data standards, electronic format, and values for each data element within an electronic transaction. The purpose of the Companion guide is to provide trading partners with a guide to communicate NCTracks specific information required to successfully exchange transactions.

The primary purpose of this document is to assist the trading partner with the appropriate use of the transactions and is not intended to be a billing or policy guide.

## **1.5 ACKNOWLEDGEMENTS**

For all inbound transactions, a 999 Acknowledgement report will be sent to the trading partner's OUTBOX for retrieval. This report serves as the acknowledgement of the submission of a file. Typically, 999 Acknowledgement reports are available within moments of submission.

## **1.6 TRADING PARTNER AGREEMENT SETUP**

Refer to Section 2.2, "Trading Partner Registration," of the NCTracks Trading Partner Connectivity Guide.

## **1.7 TESTING**

NC DHHS (DMA, DMH, and DPH) requires testing, or third party certification, prior to approving a trading partner to submit claims in production. Once in production, NC DHHS (DMA, DMH, DPH) reserves the right to require re-testing if it is determined the trading partner is receiving/generating an unacceptable volume of errors.

Refer to Section 3, "Testing and Certification Requirements," of the NCTracks Trading Partner Connectivity Guide.

## 2. Included ASC X12 Implementation Guides

The table below identifies the X12N Implementation Guides for all of the transactions supported by NCTracks. Companion guides are available for each of the transactions.

Section 3 of this document provides information specific to the 276/277 Health Care Claim Status Request and Response transaction set, as defined in the ASC/X12N 005010X212 Health Care Claim Status Request and Response Technical Report 3 (TR3) dated August 2006, and updated by:

- Errata 005010X212E1 Health Care Claim Status Request and Response dated April 2008
- Errata 005010X212E2 Health Care Claim Status Request and Response dated January 2009

Unique ID	Name
005010X222	Health Care Claim: Professional (837P)
005010X223	Health Care Claim: Institutional (837I)
005010X224	Health Care Claim: Dental (837D)
005010X228	Health Care Claim Pending Status Information (277P)
005010X279	Health Care Eligibility Benefit Inquiry and Response (270/271)
005010X221	Health Care Claim Payment/ Advice (835)
005010X212	Health Care Claim Status Request and Response (276/277)
005010X220	Benefit Enrollment and Maintenance (834)
005010X218	Payroll Deducted and Other Group Premium Payment for Insurance Products (820)
005010X231	Implementation Acknowledgment for Health Care Insurance (999)

Pharmacy claims are submitted using the National Council for Prescription Drug Program's (NCPDP) D.0 format. Please refer to the "D.0 Companion Guide" for NCPDP D.0 claim formatting used by NCTracks.

### 3. Instruction Tables

These tables contain one or more rows for each segment for which a supplemental instruction is needed.

Legend	
SHADED rows represent “segments” in the X12N implementation guide.	
NON-SHADED rows represent “data elements” in the X12N implementation guide.	

#### 005010X212 Health Care Claim Status Request and Response (276/277)

Loop ID	Reference	Name	Codes	Notes/Comments
<b>276</b>		<b>Health Care Claim Status Request</b>		
Header	ISA	Interchange Control Header		
	ISA01	Authorization Information Qualifier	00	Use “00”
	ISA03	Security Information qualifier	00	Use “00”
	ISA05	Interchange ID Qualifier	ZZ	Use “ZZ”
	ISA06	Interchange Sender ID		Use the 4 digit Submitter ID provided in the Trading Partner Agreement.
	ISA07	Interchange ID Qualifier	ZZ	Use “ZZ”
	ISA08	Interchange Receiver ID		<p>“NCTRACKSBAT” is submitted for batch requests.</p> <p>“NCTRACKSREL” is submitted for real-time requests.</p> <p>Most submitters will use “NCTRACKSBAT” unless they have been designated as a real-time submitter</p>
Header	GS	Functional Group Header		
	GS02	Application Sender’s Code		Use the 4 digit Submitter ID provided in the Trading Partner Agreement.
	GS03	Application Receiver’s Code		<p>“NCTRACKSBAT” is submitted for batch requests.</p> <p>“NCTRACKSREL” is submitted for real-time request.</p> <p>Most submitters will use “NCTRACKSBAT” unless they have been designated as a real-time submitter</p>
2100A	NM1	Payer Name		
	NM108	Payer Identification Code Qualifier	PI	Use “PI”



Loop ID	Reference	Name	Codes	Notes/Comments
<b>276</b>		<b>Health Care Claim Status Request</b>		
	NM109	Payer Identification Code		Use "NCTRACKS"
2100B	NM1	Information Receiver Name		
	NM108	Receiver Identification Code Qualifier	46	Use "46"
	NM109	Information Receiver Identification Number		Use the 4 digit Submitter ID provided in the Trading Partner Agreement.
2100C	NM1	Provider Name		
	NM108	Provider Identification Code Qualifier	SV, XX	Use "SV" for Atypical Provider ID Use "XX" for NPI.
2000D		Subscriber Level		The 2000D Subscriber Level loop should be used to identify the recipient, since the recipient is always the subscriber.
2100D	NM1	Subscriber Name		
	NM102	Subscriber Type Qualifier	1	Use "1"
	NM108	Identification Code Qualifier	MI	Use "MI"
	NM109	Subscriber Identifier		Use the subscriber's 10-digit identification number ending in an alpha character.
2200D	REF	Payer Claim Control Number		
	REF02	Reference Identification		When available, use the 16-digit TCN assigned by NCTracks.
2200E		Dependent Level		This loop and segments will not be captured.

## 005010X212 Health Care Claim Status Request and Response (276/277)

Loop ID	Reference	Name	Codes	Notes/Comments
<b>277</b>		<b>Health Care Claim Status Response</b>		
Header	ISA	Interchange Control Header		
	ISA01	Authorization Information Qualifier	00	"00" is returned
	ISA03	Security Information Qualifier	00	"00" is returned
	ISA05	Interchange ID Qualifier	ZZ	"ZZ" is returned
	ISA06	Interchange Sender ID		"NCTRACKSREL" is returned for real-time requests. "NCTRACKSBAT" is returned for batch requests.
	ISA07	Interchange ID Qualifier	ZZ	"ZZ" is returned
	ISA08	Interchange Receiver ID		The 4 digit Submitter ID provided in the Trading Partner Agreement is returned.
	ISA14	Usage Indicator	0	"0" is returned
Header	GS	Functional Group Header		
	GS01	Functional Identification Code	HN	"HN" is returned
	GS02	Application Sender's Code		"NCTRACKSREL" is returned for real-time requests. "NCTRACKSBAT" is returned for batch requests.
	GS03	Application Receiver's Code		The 4 digit Submitter ID provided in the Trading Partner Agreement is returned.
2100A	NM1	Payer Name		
	NM108	Payer Identification Code Qualifier	PI	"PI" is returned
	NM109	Payer Identification Code		"NCTRACKS" is returned
2200B	STC	Information Receiver Status Information		If there is an error at the Information Receiver level, loops 2000C (Provider Status Level) and 2000D (Subscriber Level) will not be returned on the 277.
	STC01-1	Health Care Claim Status Category Code		The 277 will be returned with the status of STC01-1='A7' if the ETIN submitted in the 276 is invalid or the GS02 Submitter ID is not equal to the ETIN in 2100B, NM109.
	STC01-2	Status Code		The 277 will be returned with the status of STC01-2='96' if there is an ETIN error.
2100C	NM1	Provider Name		
	NM108	Provider Identification Code Qualifier	SV, XX	"SV" is returned for Atypical Provider ID "XX" is returned for NPI.
2200C	STC	Provider Status Information		If there is an error at the Provider Status Information level, loop 2000D (Subscriber Level) will not be returned on the 277.
	STC01-1	Health Care Claim Status Category Code	A7	The 277 will be returned with the status of STC01-1='A7' if the Provider ID submitted in the 276 is invalid or Provider ID is not found.
	STC01-2	Status Code	26, 132	The 277 will be returned with the status of STC01-2='26' if the Provider ID is not found or STC01-2='132' if the Provider ID is not valid.

Loop ID	Reference	Name	Codes	Notes/Comments
<b>277</b>		<b>Health Care Claim Status Response</b>		
2100D	NM1	Subscriber Name		
	NM109	Subscriber Identifier		The subscriber's 10-digit identification number ending in an alpha character is returned.
2200D	STC	Claim Level Status Information		Refer to appropriate Washington Publishing Company (WPC) code source.
	STC01-1	Health Care Claim Status Category Code		<a href="http://www.wpc-edl.com/reference/codelists/healthcare/claim-status-category-codes/">http://www.wpc-edl.com/reference/codelists/healthcare/claim-status-category-codes/</a>
	STC01-2	Health Care Claim Status Code		<a href="http://www.wpc-edl.com/reference/codelists/healthcare/claim-status-codes/">http://www.wpc-edl.com/reference/codelists/healthcare/claim-status-codes/</a>
	STC01-3	Entity Identifier Code		This field is returned when applicable. Refer to the 276/277 TR3 for value definitions.
2200E		Dependent Level		This loop and segments will not be returned on the 277 response.

## 4. TI Additional Information

### 4.1 BUSINESS SCENARIOS

The 276 is submitted to request claim status information.

### 4.2 PAYER SPECIFIC BUSINESS RULES AND LIMITATIONS

The NCTracks Transaction Control Number (TCN), Date of Service, and Date of Service and Claim Charge combinations are the search combinations used for NCTracks. All combinations must also match on Provider and Recipient.

TCN	
Billing Provider ID	Service Provider loop 2100C NM109
Recipient ID	Subscriber Name loop 2100D NM109
Claim Transaction Control Number (TCN)	Payer Claim Identification Number loop 2200D REF02
Date of Service	
Billing Provider ID	Service Provider loop 2100C NM109
Recipient ID	Subscriber Name loop 2100D NM109
Header Date of Service OR Line Date of Service	Claim Service Date loop 2200D DTP03 Service Line Date loop 2210D DTP03
Date of Service and Claim Charge	
Billing Provider ID	Service Provider loop 2100C NM109
Recipient ID	Subscriber Name loop 2100D NM109
Header Date of Service OR Line Date of Service	Claim Service Date loop 2200D DTP03 Service Line Date loop 2210D DTP03
Header Claim Charge	Total Submitted Charges loop 2200D AMT02

### 4.3 SCHEDULED MAINTENANCE

NCTracks maintenance will occur Sunday morning from 12:01 a.m. through 4:00 a.m. NCTracks will not be available to submit files during this time...

### 4.4 FREQUENTLY ASKED QUESTIONS

This section will contain a compilation of questions and answers as they are identified.

### 4.5 OTHER RESOURCES

- **Washington Publishing Company**

The Implementation Guides for X12N and all other HIPAA standard transactions are available electronically at [www.wpc-edi.com](http://www.wpc-edi.com)

- **ASC X12 Organization**

<http://www.x12.org/>

- **United States Department of Health and Human Services (HHS)**

This site is a resource for the Notice of Proposed Rule Making, rules and other information about HIPAA.

[www.aspe.hhs.gov/admsimp](http://www.aspe.hhs.gov/admsimp)

- **Workgroup for Electronic Data Interchange (WEDI)**

A workgroup dedicated to improving health-care through electronic commerce, which includes the Strategic National Implementation Process (SNIP) for complying with the administrative simplification provisions of HIPAA.

[www.wedi.org](http://www.wedi.org)

- **North Carolina Department of Health and Human Services**

[www.ncdhhs.gov](http://www.ncdhhs.gov)

- **North Carolina Division of Medical Assistance**

<http://www.ncdhhs.gov/dma/>

- **North Carolina Division of Mental Health/Development Disabilities/Substances Abuse Services**

<http://www.ncdhhs.gov/mhddsas/>

- **North Carolina Division of Public Health**

<http://publichealth.nc.gov/>

## 5. Change Summary

Date	Change	Responsible Party
November 16, 2012	Initial trading partner test version	CSC under the direction of NC DHHS
July 1, 2013	Production version	CSC under the direction of NC DHHS